



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Ashkenazi, et al.

Docket No.: 39780-2730P1G35

Serial No.: 09/997,384

Group Art Unit: 1645

Filing Date: November 15, 2001

Examiner: Unassigned

For: **SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE SAME**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450


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### TRANSMITTAL

- ☒ Transmitted herewith are the following documents:
- (1) Supplemental Information Disclosure Statement;
  - (2) Supplemental PTO Form 1449; and
  - (3) Copies of five (5) cited references.
- ☒ The Commissioner is authorized to charge any required fees, or credit any overpayment to Deposit Account No. 08-1641.
- ☒ Attached is a postcard for date-stamped return as confirmation of receipt of these materials.

Respectfully submitted,

Date: July 9, 2003

  
Ginger R. Dreger  
Reg. No. 33,055

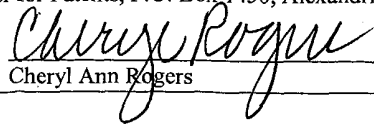
### HELLER EHRMAN WHITE & MCAULIFFE LLP

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275 Middlefield Road  
Menlo Park, CA 94025  
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### CERTIFICATE OF MAILING (37 CFR 1.8(a))

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date: July 9, 2003

  
Cheryl Ann Rogers



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Ashkenazi, et al. Docket No.: 39780-2730P1C35  
Serial No.: 09/997,384 Group Art Unit: 1645  
Filing Date: November 15, 2001 Examiner: Unassigned  
For: **SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC  
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**SUPPLEMENTAL INFORMATION DISCLOSURE**  
**STATEMENT UNDER 37 C.F.R. §1.97**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Listed below or on an attached Form PTO-1449 is information known to applicant(s). A copy of each listed publication and U.S. and foreign patent, except for pending U.S. applications, is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. If form PTO-1449 is enclosed, the Examiner is requested to initial and return it in accordance with MPEP §609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56.

- ☒ This statement qualifies under 37 C.F.R. §1.97, subsection (b) because (check all that apply):
- ☐ (1) It is being filed within 3 months of the application filing date and is other than a continued prosecution application under § 1.53(d)  
-- OR --
- ☐ (2) It is being filed within 3 months of entry of a national stage  
-- OR --

**CERTIFICATE OF MAILING (37 CFR 1.8(a))**

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date: July 9, 2003

*Cheryl Ann Rogers*  
Cheryl Ann Rogers

- ☒ (3) It is being filed before the mail date of the first Office Action on the merits  
-- OR --  
☐ (4) It is being filed before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.

☐ 37 C.F.R. §1.97(c). If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application; (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; or (3) the mailing date of a first Office action on the merits, but before the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, then:

- ☐ a certification as specified in §1.97(e) is provided below; **or**  
☐ a fee of \$180.00 as set forth in §1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.


☐ 37 C.F.R. §1.97(d). If this statement is being filed after the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, but before payment of the issue fee, then:

- A. a certification as specified in §1.97(e) is completed below; and  
B. a petition under 37 C.F.R. §1.97(d) requesting consideration of this statement is submitted herewith; **and**  
C. a fee of \$180.00 as set forth in §1.17(i)(1) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.

☒ *Fee Authorization.* The Commissioner is hereby authorized to charge the above-referenced fees of \$180.00 and charge any additional fees or credit any overpayment associated with this communication to Deposit Account No. 08-1641 (Docket No. 39780-2730P1C35).

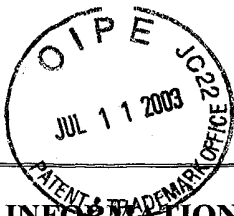
Respectfully submitted,

Dated: July 9, 2003

By:   
Ginger R. Dreger  
Reg. No. 33,055

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SHEET 1 OF 1

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT		ATTY. DOCKET NO.: 39780-2730P1C35		SERIAL NO.: 09/997,384			
PTO-1449		APPLICANT : ASHKENAZI, et al.		FILING DATE: 11/15/01			
		GROUP: 1645					
U.S. PATENT DOCUMENTS							
EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE	
FOREIGN PATENT DOCUMENTS							
EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	WO 00/53753	9/14/00	PCT			<input type="checkbox"/>	<input type="checkbox"/>
	WO 00/52022	9/8/00	PCT			<input type="checkbox"/>	<input type="checkbox"/>
	WO 00/70049	11/23/00	PCT			<input type="checkbox"/>	<input type="checkbox"/>
						<input type="checkbox"/>	<input type="checkbox"/>
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
	Tashiro, K., et al. "Signal Sequence Trap: A Cloning Strategy for Secreted Proteins and Type I Membrane Proteins", Vol. 261, 30 July 1993, pp. 600-603.						
	Joubert, F.J., et al., "The Amino Acid Sequence of Protein a From Dendroaspis Polylepis Polylepis (Black Mamba) Venom", Hoppe-Seyler's Zeitschrift Fuer Physiologische Chemie, Vol. 361, No. 12, 1980, pp. 1787-1794.						
EXAMINER				DATE CONSIDERED			

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.